

CHAPTER 7

FUND CONTROL

7.1 FUND CONTROL MENU

The Fund Control Menu along with the Allocation Menu (see Chapter 8) allows users to access information for managing and controlling available funds. It is accessed from the FHWA-FMIS 4.0 Main Menu. This menu (FIGURE 7.1) is available to all users and provides access to detail funding information.

FIGURE 7.1



7.2 PROGRAM CODE

The Program Code, as described in Chapter 3, is the 4-digit code used to identify funding category. These codes are established and assigned by the Finance Division. All program codes (current and historical) are retained in the FMIS. All users have access to this information. The information recorded for the program codes as shown in FIGURE 7.2 identifies key details for the funding type, such as charged to limitation, availability period, Federal share, etc. Enter Program Code, then click OPEN.

FIGURE 7.2

FMIS (FSAD0002) PROGRAM CODE

Print Quit Help Window

Open Save Delete Transfer Restriction Lapse

PROGRAM CODE

Program Code: Q240 Last Action Date: 12/11/1998

Program Code Information

Fund Source: Q240 Program Code Type: Charged to Limitation(C)

Long Name: STP - STATE FLEXIBLE - TEA21 Short Name: STP-FLEX-TEA21

Non Formula Limit: [Dropdown] Federal Funds Source: FMIS Only

Obsolete Approp. Type: [Dropdown]

Planning: ☐ Yes ☒ No

Training: ☐ Yes ☒ No

Administration Only: ☐ Yes ☒ No

100% Safety Limitation: ☐ Yes ☒ No

Fund Source Information

Expired: ☐ Yes ☒ No

Recode: 321

Fund Type: Trust

Authority Type: Contract

Percent Federal Share: 80

Demo Type: [Dropdown]

Limited Statistics Req'd: STP

Urban Attributable Type: [Dropdown]

Apportioned/Allocated: ☒ Apport ☐ Alloc

Subject To Deduction: ☐ Yes ☒ No

Allocate By Project: ☐ Yes ☒ No

FMIS Enhance: ☐ Yes ☒ No

Urban Attributable: ☐ Yes ☒ No

Withdrawal Attributable: ☐ Yes ☒ No

Urban Required: ☐ Yes ☒ No

GOE Only: ☐ Yes ☒ No

Many Urb Areas Per Project: ☐ Yes ☒ No

OMC Only: ☐ Yes ☒ No

Adv. Construction Alwd: ☐ Yes ☒ No

Comments

Public Law	Section	Subsection
105-0178		

Title 23: 23 USC 133

Treasury Symbol: 69X8083

DAFIS Information

Appropriation Code: X0100

7.2.1 Transfer Restriction

FMIS Team members enter the Program Codes that can receive transferred funds from the displayed Program Code. The maximum number of transfers and the maximum percentage of original funding that can be transferred is displayed here.

FIGURE 7.2A

TRANSFER RESTRICTIONS

Program Code: Q240

Transfer To Program Code	Max # Of Transfers	No Limit On # Of Transfer	Max % Of Original
W360	10	<input type="radio"/>	100.00
Q240		<input type="radio"/>	100.00
SB10	3	<input type="radio"/>	100.00
0420	6	<input type="radio"/>	100.00
Q110	10	<input type="radio"/>	100.00
Q420	10	<input type="radio"/>	100.00
Q400	10	<input type="radio"/>	100.00

7.2.2 Lapse

To determine availability period, click LAPSE and the PROGRAM CODE LAPSE screen (FIGURE 7.2B) will display the appropriate information.

FIGURE 7.2B

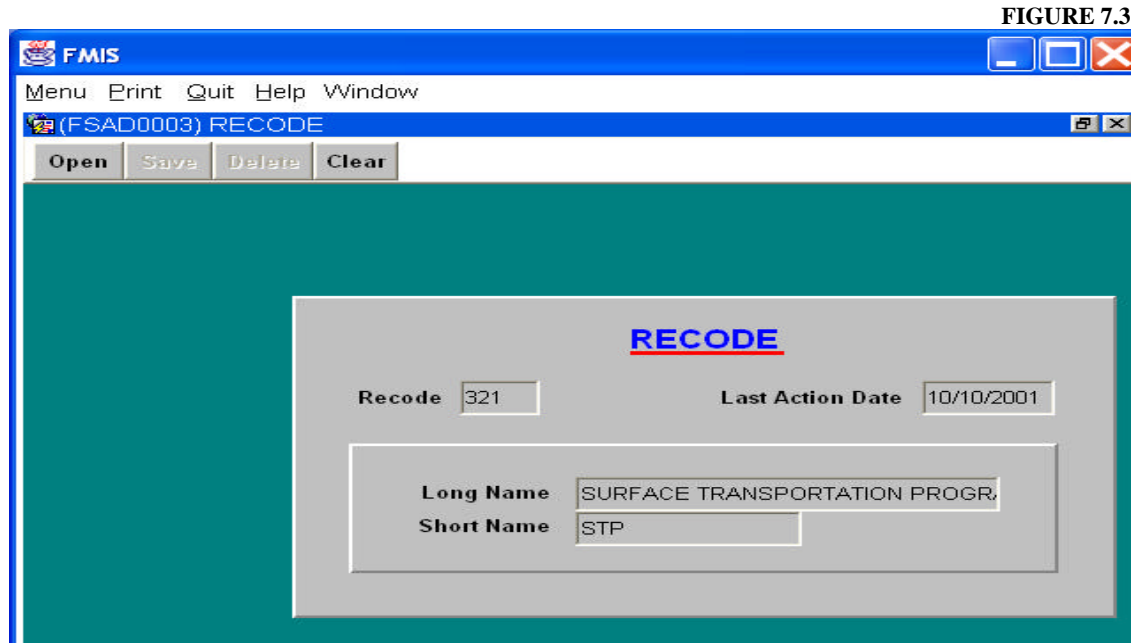
PROGRAM CODE LAPSE

Program Code: Q240 Parent Fund Source: Q240

Fiscal Year	Lapse Type	Lapse Date	Nbr Of Year
2001	NUMBER OF YEARS	09/30/2004	4
2000	NUMBER OF YEARS	09/30/2003	4
1999	NUMBER OF YEARS	09/30/2002	4
1998	NUMBER OF YEARS	09/30/2001	4
1992	NUMBER OF YEARS	09/30/1995	4
1991	NUMBER OF YEARS	09/30/1994	4
1990	NUMBER OF YEARS	09/30/1993	4
1989	NUMBER OF YEARS	09/30/1992	4
1988	NUMBER OF YEARS	09/30/1991	4
1987	NUMBER OF YEARS	09/30/1990	4

7.3 RECODE

The Recode, as described in Chapter 3, is the 3-digit code that groups related program codes, i.e., Recode 015 for NHS consist of program codes 3150, 3160, Q050, Q400, etc. The key use for recodes is to generate reports. To determine the appropriate recode, view the Program Code screen or refer to the FMIST51A report. To view recode information, enter recode number and click OPEN as shown in FIGURE 7.3. SAVE, DELETE and CLEAR are available only to the FMIS Team.



7.4 APPORTIONMENTS

The "apportionment" as it applies to the Federal-aid Highway Program refers to the distribution of authorized funds to the States for specific programs under formulas or other distribution procedures that are prescribed in law. To view, click APPORTIONMENTS from the FUND CONTROL MENU. Select Fiscal Year, Cost Center, and enter Program Code. Select Urbanized or Withdrawal Area and Demo ID, if applicable. Click OPEN. The legislation authorizing the funding is automatically displayed in the Public Law field. The VIEW/UPDATE APPORTIONMENT in FIGURE 7.4 shows apportionments changes, transfers and lapse amounts by fiscal year with transaction number and date.

FIGURE 7.4

VIEW / UPDATE APPORTIONMENT

Fiscal Year: 2002 Urbanized Area: Reference Date: CURRENT
 Cost Center: 00 CA Withdrawal Area: PubLaw-Section, Subsection:
 Program Code: Q240 Demo ID:

Original Amount	\$200,208,012.00	Transaction #	12/2002-00021
Apport Changes	-\$1,026,102.66	Transaction Date	12/12/2002
Transfer (-)	\$0.00	User Name	CAROL TYRANCE-GAUF
Transfer (+)	\$489,625,717.00		
I/A Transfer (-)	-\$49,624,000.00		
I/A Transfer (+)	\$0.00		
Lapsed	\$0.00		
Net Amount	\$641,729,059.34		

Record: 1/1 ... <OSC>

- **Reference Date** can be used to show all updates.
- **Original Amount** is uploaded into the FMIS from spreadsheets provided from the Apportionments Computation Tables.
- **Apport Changes** can be viewed, if field is populated, by clicking HISTORY on tool bar.
- **Transfer (-) and Transfer (+)** show fiscal year funds which have been transferred to a different program code or transferred from a different program code.
- **I/A Transfer (-) and I/A Transfer (+)** show fiscal year funds which have been transferred to a different DOT agency or transferred from a different DOT agency.
- **Lapsed** shows the amount of funds which lapsed for the fiscal year.
- **User Name** displays the name of the user to last update the apportionment. Uploaded apportionments are identified as "Batch" in this field.

7.4.1 Transfers From (-) and To (+) Apportionment

In accordance with the Uniform Transferability of Federal-Aid Highway Funds in 23 U.S.C., the FMIS allows for the transfers of funds from a program code to another program code. From VIEW/UPDATE APPORTIONMENT, click TRANSFER (-) or TRANSFER (+) to display details. The TRANSFERS (+) TO APPORTIONMENT and TRANSFERS (-) FROM APPORTIONMENT screens will show transfers by fiscal year and program code for each cost center. FIGURE 7.4.1 shows Transfers (+) to Apportionments.

FIGURE 7.4.1

FMIS 4.0
Print Quit Help Window

(FSAD0012) TRANSFER(+) TO APPORTIONMENT

Exit

TRANSFERS (+) TO APPORTIONMENT

Program Code

Year	Cost Center	Prog Code	Urbzd Area	Withdl Area	Transfer Amount	Transaction #	Transfer Date	User Name
2002	00	AL	Q010		\$50,000,000.00	02/2002-00052	02/07/2002	RENE E. ALISASIS

7.4.2 View Transfer

To view transfers from the Transfers (+) or (-) Apportionment screen as shown in FIGURE 7.4.2, highlight and click the appropriate line. More details of the transfer is displayed as shown in FIGURE 7.4.2.

FIGURE 7.4.2

The screenshot shows the 'VIEW TRANSFER' window in FMIS 4.0. The window title is '(FSAD0012) VIEW TRANSFER'. It contains an 'Exit' button and a menu bar with 'Print', 'Quit', 'Help', and 'Window'. The main content area is titled 'VIEW TRANSFER' and displays the following information:

FROM		TO	
Year	2002	Cost Center	00 AL
Program Code	Q010	Program Code	Q240
Urbzd Area		Urbzd Area	
Withdl Area		Withdl Area	
Apportionment Amt	\$104,852,201.00	Apportionment Amt	\$45,744,410.00
Transfer Amt	\$50,000,000.00	Transfer Amt	\$50,000,000.00
Revised Amt	\$54,852,201.00	Revise Amt	\$95,744,410.00
		Transaction #	02/2002-00052
		Transfer Date	02/07/2002
		User Name	RENE E. ALISASIS

7.5 TOTAL TO DATE (TOTD) APPORTIONMENTS

The Total Apportionments may be viewed by clicking TOTD APPORTIONMENT from the FUND CONTROL MENU. To view all apportionments (FIGURE 7.5) for all fiscal years, select cost center, program code and other appropriate criteria, i.e., Demo ID, urbanized area and withdrawal area. Click OPEN and the apportionment information will be displayed, i.e., Original and Net Amounts, Apportionment Change, Transfer (+) and (-) as shown. Scroll to the right to view Inter-State and Inter-Agency (IA) transfers in (+) and out (-), and Lapsed.

FIGURE 7.5

Year	Original Amt	Net Amount	Apport Change	Transfer (+)
TOTD	\$149,415,283.00	\$149,415,283.00	\$0.00	\$12,099,310.00
2001	\$44,121,379.00	\$44,121,379.00	\$0.00	\$0.00
2000	\$41,724,480.00	\$41,724,480.00	\$0.00	\$0.00
1999	\$38,302,130.00	\$26,338,438.00	\$0.00	\$4,758,852.00
1998	\$25,267,294.00	\$37,230,986.00	\$0.00	\$7,340,458.00

7.6 INTER-AGENCY (IA) TRANSFERS

In accordance with 23 U.S.C., specific programs may be transferred to other agencies, such as Federal Transit Administration. Requests for IA transfers are submitted to the FHWA Finance Division, FMIS Team. The amounts requested are posted into FMIS and can be viewed by selecting INTER-AGENCY TRANSFERS (FIGURE 7.6) from the FUND CONTROL MENU or access from VIEW APPORTIONMENT screen. Select Fiscal Year and Cost Center, enter program code; then click OPEN. Enter the Urban area, Withdrawal area and Demo ID, if applicable. For Demo ID, the Public law will be displayed.

FIGURE 7.6

VIEW INTER-AGENCY TRANSFERS

FROM

Fiscal year: 2002
 Cost center: 00 CA
 Program code: Q240
 Urban area:
 Withdr area:
 Reference date: Current
 Publaw-sect,subject:
 Demo ID:

TO

Transfer agency	Cost center	Transfer fund	Transfer limitation
FEDERAL TRANSIT AGENCY	30 92	\$38,487,000.00	\$38,487,000.00
Total transaction		\$38,487,000.00	\$38,487,000.00

7.6.1 Transfer History

From VIEW INTER-AGENCY TRANSFERS (FIGURE 7.6), view details for each program code by clicking HISTORY. The details of the transfer transaction will be shown as in FIGURE 7.6.1.

FIGURE 7.6.1

FMIS
Print Quit Help Window

(FSAD0054) TRANSFER HISTORY

Comments

TRANSFER HISTORY

FROM

Fiscal year: 2002
 Cost center: 00 CA
 Program code: Q240
 Urban area:
 Withdrawal area:
 Demo ID:
 Reference date: Current
 Publaw-sect,subject:

TO

Transfer date	Transfer agency	Transfer funds	Transfer limitation	Trans no	User name
03/18/2002	FEDERAL TRANSIT AGENCY	\$2,365,000.00	\$2,365,000.00	03/2002-00092	CAROL TYRANC
01/14/2002	FEDERAL TRANSIT AGENCY	\$20,254,000.00	\$20,254,000.00	01/2002-01844	CAROL TYRANC
01/14/2002	FEDERAL TRANSIT AGENCY	\$15,868,000.00	\$15,868,000.00	01/2002-01840	CAROL TYRANC

7.7 LIST INTERAGENCY TRANSFER

The LIST IA TRANSFER APPORTS/ALLOCS screen can be accessed from the FUND CONTROL MENU. Users may view a list of all IA transfers by selecting Fiscal Year and Cost Center; then clicking OPEN. If no program code is entered, all program codes will be shown as in FIGURE 7.7.

FIGURE 7.7

FMIS
Menu Print Quit Help Window

(FSAD0051) LIST IA TRANSFER APPORTS/ALLOCS

Open

LIST IA TRANSFER APPORTS/ALLOCS

Fiscal year: 2002 Cost center: 00 CA Program code:

☐ Alloc ☒ Apport

Cost center	Program code	Urban area	Withdr area	Demo ID	Public law, section, subsection	Transfer fund
00	CA	Q240				\$38,487,000.00
00	CA	Q400				\$98,663,217.00

7.8 FISCAL YEAR VALUES

For each Fiscal year, the total obligation limitation amount and pro rata share for all limitation types can be viewed by selecting FISCAL YEAR VALUES from the FUND CONTROL MENU. Select the fiscal year and all information will be displayed as shown in FIGURE 7.8. First Quarter defaults to 100% (legislation may set a lower rate). Formula and non-formula limitation are shown as Charge to Limitation. All special limitation categories (Appalachia, High Priority Project, Minimum Guarantee, Woodrow Wilson Bridge and RABA Special Projects) also are shown. The Safety category represents 10% limit for safety activity (23U.S.C. 120(d)). Monthly and cumulative administration amounts (MAD CAD AMT) are for the FMIS Team only.

FIGURE 7.8

ENTER FISCAL YEAR VALUES

Fiscal Year: 2002 MAD CAD AMT

Total Limitation: \$35,148,260,693.56

First Quarter Percent: 100.00

Limitation Code	Pro Rata Share
Charge To Limitation	90.40
Appalachia	90.40
High Priority Project	90.40
Minimum Guarantee	90.40
Woodrow Wilson Bridge	90.40
Safety	90.40
RABA Special Projects	